

## RECOMMENDATION 5, 9, & 17: WORKING GROUP SELF-ASSESSMENTS

### STRATEGIC ALIGNMENT

#### Part One – Which ICANN Objective does this meet

Promote role clarity and establish mechanisms to increase trust within the ecosystem rooted in the public interest. Also, evolve policy development and governance processes, structures and meetings to be more accountable, inclusive, efficient, effective and responsive. See Strategic Plan main web page at: <https://www.icann.org/resources/pages/strategic-engagement-2013-10-10-en>.

#### Alignment with Strategic Objectives

##### Goal

- Shared understanding by Board, staff and stakeholders of the allocation of responsibilities for design, development and implementation of policy and operational processes.
- Shared understanding of the roles, responsibilities and accountability of the Board, staff and stakeholders.
- Board, staff, and stakeholders use best practices and exercises appropriate behavioral norms.

##### Project/Recommendation

Recommendation 5: That, during each Working Group self-assessment, new members be asked how their input has been solicited and considered.  
Recommendation 9: That a formal Working Group leadership assessment program be developed as part of the overall training and development program.  
Recommendation 17: That the practice of Working Group self-evaluation be incorporated into the PDP; and that these evaluations should be published and used as a basis for continual process improvement in the PDP.

### SCOPE DESCRIPTION

#### Scope Statement

Recommendation 5 and 9:

1. Staff to provide the GNSO Review Working Group with a proposed modification of the Working Group Self-Assessment Survey to include a) new questions on how Working Group member input has been solicited and considered and; b) a new assessment survey for Working Group leadership.
2. Based on the proposed modifications the GNSO Review Working Group to determine if revisions are necessary to the GNSO Working Group Guidelines and, if so, draft them for public comment and then present them for approval to the GNSO Council.

Recommendation 17:

1. The GNSO Review Working Group to review current procedures for self-evaluation in the PDP Working Group Guidelines and will work with staff on possible modifications, which will be published for public comment and then provided to the GNSO Council for approval.
2. Following GNSO Council approval, staff to amend the GNSO Operating Procedures with the new revisions.

The GNSO Review Working Group will determine whether this recommendation has been implemented.

#### Out of Scope

The above scope is sufficiently clear.

<b>Assumptions</b>
None.
<b>Deliverables</b>
None.

<b>OPTION ANALYSIS</b>
None were considered or were necessary to be considered.

<b>SOLUTION</b>
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Recommendation 5: The Working Group Self-Assessment currently includes the question, “How long have you been actively involved with ICANN?” This provides information about whether the respondent is new to ICANN or a more experienced member of the community. Section 4 of the Working Group Self-Assessment asks respondents to rate on a scale of 1 to 7 their personal level of engagement in helping the WG accomplish its mission, personal level of fulfillment, and willingness to serve in future groups. There is also a text box for respondents to provide comments. Staff recommends adding a second free text field to this page with the question, “How was your input solicited and considered by the Working Group?” While all respondents will be prompted to answer this question, those analyzing the results will be able to filter and view responses only from newcomers if they choose to do so.

Recommendation 9:

Section 2 of the Working Group Self-Assessment asks respondents to rate on a scale of 1 to 7 effectiveness of participation climate, behavior norms, decision-making methodology, and session/meeting planning. Section 3 requests input on the same scale regarding effectiveness of the primary mission and quality of outputs/deliverables. Section 2 and 3 also have free text fields for comments. Staff suggests adding an additional question to Section 2 and 3. For Section 2: “How did performance of the Working Group leadership (Chair/Co-Chairs/Vice-Chairs) impact effectiveness with respect to norms, operations, logistics, and decision-making? Please provide examples.” For Section 3: “How did performance of the Working Group leadership (Chair/Co-Chairs/Vice-Chairs) impact effectiveness with respect to products and outputs? Please provide examples.”

Recommendation 17: Discussion of the Working Group Self-Assessment is currently included in Section 7.0 of the Working Group Guidelines. Use of this assessment is standard practice in PDPs and other Working Groups in the GNSO. In the self-assessment questionnaire, members are asked a series of questions about the team’s inputs, processes (e.g., norms, decision-making, logistics), and outputs as well as other relevant dimensions and participant experiences. Processes regarding the self-assessment questionnaire are included in Working Group Charters under 6.2.4.4 Closure and Working Group Self-Assessment. Working Group Self-Assessment results are posted on the Working Group wiki and are available to be reviewed by the GNSO Council, staff, and community members and acted upon if results of the survey warrant follow up action. Therefore, this recommendation has been implemented.

No updates are needed to the Working Group Guidelines to modify the Working Group Self-Assessment template as described above.

The GNSO Review Working Group noted in the discussion of the Self-Assessment that members of the Working Group that is doing the self-assessment must provide their names when responding to the survey. The GNSO Review Working Group noted that some respondents might be concerned about providing answers to responses relating to Working Group leadership and wondered whether the confidentiality of the responses is made clear. Staff notes that the first page of the survey provides the following guidance concerning

confidentiality:

“Confidentiality: We will be asking you for identifying information to ensure that each response is valid. Your individual responses will not be accessible by anyone other than the ICANN Staff Administrator and they will not be disclosed or published in a way that could be matched to your identity.”

Thus, staff suggests that clear guidance is provided concerning confidentiality and the treatment of identifying information.

**GNSO Review Working Group Determination:**

The Working Group has reviewed the suggested changes to the Working Group Self-Assessment questionnaire addressing recommendations 5, 7 and 17 and with these changes deems the recommendations to be implemented.

**KEY DEPENDENCIES**

None.

**RISK IDENTIFICATION**

None.

**KEY PERFORMANCE INDICATORS**

It is not clear to staff whether a KPI applies in the implementation of these recommendations.

**NECESSARY TO PROCEED**

**Next Phase Activities/Resources**

Staff resources.

**APPROVERS**


Name	Completion of Recommendation Approved by Consensus
GNSO Review Working Group	08 January 2018

**REVISION HISTORY**

Date	Version	Description	Author
21 November 2017	V1	Original Draft.	Emily Barabas, Senior Policy Specialist
30 November 2017	V2	Revisions based on the discussion at the meeting on 30 November 2017.	Julie Hedlund, Policy Director
18 December 2017	V2	Out for Consensus Call to 08 January 2017.	Julie Hedlund, Policy Director

**Attachments, as applicable:** Working Group Self-Assessment Survey

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## Working Group Self-Assessment

Working Group:

### Welcome & Introduction:

Thank you for accepting the invitation to complete this questionnaire concerning your experiences with the above-named Working Group (WG). Your Chartering Organization (CO) and other ICANN stakeholders are keenly interested in learning about the effectiveness of its chartered teams by asking participants for their assessments, perspectives, and insights concerning various performance aspects of the Working Group's operations, norms, logistics, decision-making, and outputs. The results of your feedback will be used to identify improvement areas in the guidelines, tools, methods, templates, and procedures applicable to Working Groups. Summary reports will be shared not only with your Working Group, but the larger GNSO stakeholder community.

***Confidentiality:** We will be asking you for identifying information to ensure that each response is valid. Your individual responses will not be accessible by anyone other than the ICANN Staff Administrator and they will not be disclosed or published in a way that could be matched to your identity.*


If you have any questions or concerns about this self-assessment, please send an e-mail to: [participation@icann.org](mailto:participation@icann.org) and we will try to address them promptly.

This questionnaire is organized into four sections and should take less than 30 minutes to complete. Although most of the questions will ask you for an effectiveness rating (1-7 Scale), there will be an opportunity within each major section to add free-form text comments. You are encouraged to provide supplementary explanations or other supporting information that will help the Chartering Organization understand and interpret your input. Except for a few required identification and demographic questions, if there is any individual question for which you do not wish to provide a rating, a SKIP option is available.

You may begin now by clicking on the [Next](#) button below. You should be able to complete the questionnaire in one sitting; however, there is a button to [Save Page and Continue Later](#) if you are interrupted and need to resume at another time. Please note that the survey's internal [Back](#) option only operates for the most recent page completed. Please **do not** use your browser's Back button or you will lose answers.

**ICANN Staff Administrator**

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### Participant Identification

Before we get started with the first Section, the following questions are intended to ensure that (1) each response is being provided by a recognized member of the Working Group and (2) we only receive one submission per individual.

***Your identity will remain strictly confidential and no attempt will be made to associate individual responses to survey results.***

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**Name \***

**Email Address \***

**Primary Organizational Affiliation: \***  
-- Select --

**Working Group Role: \***  
-- Select --


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In the next three sections, you will be asked to rate the EFFECTIVENESS (Scale 1-7) of several Working Group performance dimensions organized into **Inputs -> Processes -> Outputs**; the scale interpretation will be provided appropriate to each element.

*Your Chartering Organization (CO) understands that, when answering survey questions, it may seem challenging to assign a single numerical rating to any team dimension in which a broad spectrum of experiences occurred. You are asked to think about the overall effort and provide the most honest and accurate representation in your best judgment. Learning and process improvement are the goals and there are no right or wrong answers. Recognizing that there may be important dynamics that simply cannot be captured in a single rating, you are encouraged to use the free-form comment box within each major section to provide supplementary explanations that will help the CO understand and interpret your feedback.*

**THANK YOU and now on to Section 1...**

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### Section 1-Inputs ...includes the charter/mission, team members, tools, and resources

Thinking about the overall EFFECTIVENESS of the Working Group's **Inputs**, how would you rate each of the following six elements on a scale where 1=Highly Ineffective and 7=Highly Effective:

	1	2	3	4	5	6	7	N/A
	Highly Ineffective						Highly Effective	
A) The <u>Charter/Mission</u> of the WG where <b>1=Highly Ineffective</b> means confusing, vague, ill-structured, unbounded, unrealistic (e.g., time, constraints), unachievable; and <b>7=Highly Effective</b> means understandable, clear, well-structured, bounded, realistic (e.g., time, constraints), achievable	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
B) The <u>Expertise</u> of WG members where <b>1=Highly Ineffective</b> means that, collectively, team members did not possess an appropriate level of knowledge/skill to fulfill the mission; and <b>7=Highly Effective</b> means that team members, collectively, were appropriately knowledgeable and skilled to accomplish the mission	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
C) The <u>Representativeness</u> of WG members where <b>1=Highly Ineffective</b> means narrow, skewed, selective, unbalanced; and <b>7=Highly Effective</b> means broad, diverse, balanced	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
D) The external <u>Human Resources</u> (e.g., briefings, experts, consultants, liaisons) provided to the WG where <b>1=Highly Ineffective</b> means inappropriate, inadequate, untimely, not helpful/useful; and <b>7=Highly Effective</b> means appropriate, adequate, timely, helpful/useful	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
E) The <u>Technical Resources</u> (e.g., systems, tools, platforms, templates) provided to and utilized by the WG where <b>1=Highly Ineffective</b> means difficult, challenging, clumsy, awkward, tedious, slow, not helpful/useful; and <b>7=Highly Effective</b> means easy, straightforward, clear, efficient, fast, helpful/useful	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
F) The <u>Administrative Resources</u> (e.g., support, guidelines, documentation) provided to and utilized by the WG where <b>1=Highly Ineffective</b> means inappropriate, inadequate, untimely, not helpful/useful; and <b>7=Highly Effective</b> means appropriate, adequate, timely, helpful/useful	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

**Comments about the WG's Inputs:**

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## Working Group Self-Assessment

Working Group:

**Section 2-Processes ...includes norms, operations, logistics, and decision-making**

Thinking about the overall EFFECTIVENESS of the Working Group's **Processes**, how would you rate each of the following four elements on a scale where 1=Highly Ineffective and 7=Highly Effective:


	1	2	3	4	5	6	7	N/A
	Highly Ineffective						Highly Effective	
A) The <u>Participation</u> climate within the WG where <b>1=Highly Ineffective</b> means inhospitable, unilateral, frustrating, unproductive; and <b>7=Highly Effective</b> means inviting, inclusive, accepting, respectful, productive	<input type="radio"/>		<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
B) The <u>Behavior</u> norm of WG members where <b>1=Highly Ineffective</b> means disruptive, argumentative, disrespectful, hostile, domineering; and <b>7=Highly Effective</b> means accommodating, respectful, collaborative, consensus-building	<input type="radio"/>		<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
C) The <u>Decision-Making</u> methodology (e.g., consensus) where <b>1=Highly Ineffective</b> means broken, ignored, not observed, disrespected; and <b>7=Highly Effective</b> means honored, followed, observed, respected	<input type="radio"/>		<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
D) The <u>Session/Meeting Planning</u> (e.g., agendas) where <b>1=Highly Ineffective</b> means disorganized, haphazard, unstructured, untimely notice; and <b>7=Highly Effective</b> means organized, disciplined, structured, timely notice	<input type="radio"/>		<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

**Comments about the WG's Processes:**

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## Working Group Self-Assessment

Working Group:

### Section 3-Products and Outputs

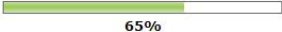
Thinking about the overall EFFECTIVENESS of the Working Group's **Products and Outputs**, how would you rate each of the following two elements on a scale where *1=Highly Ineffective* and *7=Highly Effective*:

	1	2	3	4	5	6	7	SKIP
	Highly Ineffective						Highly Effective	
A) The Working Group's primary <u>Mission</u> where <b>1=Highly Ineffective</b> means not achieved, fulfilled, and/or accomplished per the Charter; and <b>7=Highly Effective</b> means completely achieved, fulfilled, and/or accomplished as directed	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
B) The <u>Quality</u> of the WG's outputs and/or deliverables where <b>1=Highly Ineffective</b> means incomplete, inadequate, materially deficient/flawed, unsupported; and <b>7=Highly Effective</b> means complete, thorough, exhaustive, reasoned, supported	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>


**Comments about the WG's Products and Outputs:**

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## Working Group Self-Assessment

Working Group:  

### Section 4 - Personal Dimensions

As a result of having invested significant time and effort volunteering on a Working Group, your Chartering Organization is interested to learn about your own personal Engagement, Fulfillment, and Willingness-to-Serve in the future.

*Please note that the scale meaning changes for each dimension.*


	1	2	3	4	5	6	7	SKIP
A) My personal <u>Engagement</u> in helping the WG accomplish its mission where <b>1=Participated Never</b> and <b>7=Participated Extensively</b>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
B) My personal <u>Fulfillment</u> considering the time, energy, and work efforts I contributed to this WG where <b>1=Highly Unrewarding</b> and <b>7=Highly Rewarding</b>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
C) Assuming all other conditions are suitable (e.g., subject, interest, need, fit, availability), I assess my personal <u>Willingness-to-Serve</u> on a future ICANN Working Group as <b>1=Extremely Unreceptive</b> and <b>7=Extremely Receptive</b>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

**Comments about Personal Dimensions:**

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### Demographics

Your Chartering Organization has a few final questions that will assist in framing your experience with this Working Group.

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**How did you first learn about this WG (Select any/all that apply)? \***

- I was informed or invited by my SG/C or ICANN-affiliated organization
- I was contacted by an ICANN Staff member
- I was contacted by an individual seeking to recruit volunteers (e.g., GNSO Councilor, interim Chair)
- I learned about the WG through one of ICANN's websites (or Wikis)
- I learned about the WG from another organization external to ICANN
- A professional colleague or associate informed me about the WG
- Other (Please describe)

**Approximately how long have you been actively involved with ICANN? \***

-- Select --

**Considering the most recent 12 months, approximately how many hours per week do you spend on ICANN activities on the average? \***

-- Select --

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*Please feel free to provide any additional feedback about your Working Group experience, this Self-Assessment, or any other matter not covered elsewhere in this questionnaire:*

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